



TFW 3624

STALLMAN & POLLOCK LLP  
353 Sacramento Street, Suite 2200  
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In re Patent Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627

Filed: September 5, 2000

Confirmation No.: 3624

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

M/S AMENDMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	6	MINUS	26	0	x \$50 =	\$0
INDEP.	1	MINUS	3	0	x \$200 =	\$0
FIRST PRESENTATION OF MULTIPLE DEP CLAIMS					+ \$360	\$0
TOTAL						\$0

Small Entity 50% Filing Fee Reduction (if applicable) \$0

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3  
\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.  
\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

- ☒ No additional fee is required.
- ☐ A check in the amount of \$\_\_\_\_\_ is attached.
- ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.  
A duplicate copy of this sheet is enclosed.
- ☒ Petition for extension of time. The undersigned attorney of record hereby petitions for an extension of time pursuant to 37 C.F.R. § 1.136(a), as may be required, to file this response.

STALLMAN & POLLOCK LLP

Dated: July 13, 2005

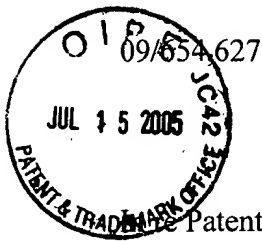
By: Brian J. Keating (Reg. No. 39,520)  
Attorneys for Applicant(s)

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on July 13, 2005.

Dated: July 13, 2005

By: Georgia K. Stith  
Georgia K. Stith



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX  
SENSITIVE PORTFOLIO  
OPTIMIZATION

Confirmation No.: 7438

Group Art Unit: 3624

Examiner: Ella Colbert

**RESPONSE TO OFFICE ACTION  
MAILED APRIL 21, 2005**353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
Telephone: (415) 772-4900  
Facsimile: (415) 398-2890M/S AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited  
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envelope, addressed to: Commissioner for Patents, P.O.  
Box 1450, Alexandria, VA 22313-1450 on July 13, 2005.

STALLMAN &amp; POLLOCK LLP

Dated: 07/13/2005

By:

Georgia K. Stith

Sir:

In response to the Office Action mailed April 21, 2005, please amend the above-  
identified application as follows:**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this  
paper.**Remarks/Arguments** begin on page 5 of this paper.